Change management toolkit
Welcome to the Wessex change management toolkit

These tools were created by the Ignite consultancy with the Wessex Colleges partnership to identify and create opportunities for change through the AoC-supported Shared Services development initiative.

Suggestions for use

All of the tools presented here were used by the Wessex Colleges at different times during the 18 months of the project. They were successfully used to plan and deliver workshops with employees at all levels of the colleges.

Involvement and engagement with employees throughout the planning for the shared services was recognised as a critical activity in preparing for future successful implementation. Careful attention was paid to enabling effective change.

These tools may be used in any order and used repeatedly as necessary.
Menu of tools:
- Selecting a change strategy
  • “We need to decide how participative or directive we need to be”
- Creating a change strategy
  • “We need to create a change strategy”
- Establishing a picture of the impact & readiness for change
  • “We need to assess and clearly articulate the likely impact and readiness for change”
- Overcoming resistance to change
  • “We need to assess and clearly articulate the likely resistance to change”
- Building commitment to change
  • “We need to build and sustain the necessary commitment to change”
- Transitioning from the old world to the new
  • “We need to successfully transition from the old world to the new”
- Building sustainability
  • “We need to ensure the benefits are sustainable”
Selecting a change strategy

“We need to decide how participative or directive we need to be”
Decide how participative/directive you want or need to be

There are five different broad approaches to effecting change, i.e.

1. **Directive strategies** - This strategy highlights the manager’s right to manage change and the use of authority to impose change with little or no involvement of other people. The advantage of the directive approach is that change can be undertaken quickly. However, the disadvantage of this approach is that it does not take into consideration the views, or feelings, of those involved in, or affected by, the imposed change. This approach may lead to valuable information and ideas being missed and there is usually strong resentment from staff when changes are imposed rather than discussed and agreed.

2. **Expert strategies** - This approach sees the management of change as a problem solving process that needs to be resolved by an 'expert'. This approach is mainly applied to more technical problems, such as the introduction of a new learner management system, and will normally be led by a specialist project team or senior manager. There is likely to be little involvement with those affected by the change. The advantages to using this strategy is that experts play a major role in the solution and the solution can be implemented quickly as a small number of 'experts' are involved. Again, there are some issues in relation to this strategy as those affected may have different views than those of the expert and may not appreciate the solution being imposed or the outcomes of the changes made.
3. **Negotiating strategies** - This approach highlights the willingness on the part of senior managers to negotiate and bargain in order to effect change. Senior managers must also accept that adjustments and concessions may need to be made in order to implement change. This approach acknowledges that those affected by change have the right to have a say in what changes are made, how they are implemented and the expected outcomes. The disadvantage to this approach is that it takes more time to effect change, the outcomes cannot be predicted and the changes made may not fulfil the total expectations of the managers affecting the change. The advantage is that individuals will feel involved in the change and be more supportive of the changes made.

4. **Educative strategies** - This approach involves changing people's values and beliefs, 'winning hearts and minds', in order for them to fully support the changes being made and move toward the development of a shared set of organisational values that individuals are willing, and able to support. A mixture of activities will be used; persuasion; education; training and selection, led by consultants, specialists and in-house experts. Again, the disadvantage of this approach is that it takes longer to implement. The advantage is that individuals within the organisation will have positive commitment to the changes being made.
5. **Participative strategies** - This strategy stresses the full involvement of all of those involved, and affected by, the anticipated changes. Although driven by senior managers the process will be less management dominated and driven more by groups or individuals within the organisation. The views of all will be taken into account before changes are made. Outside consultants and experts can be used to facilitate the process but they will not make any decisions as to the outcomes. The main disadvantages of this process are the length of time taken before any changes are made, it can be more costly due to the number of meetings that take place, the payment of consultants/experts over a longer time period and the outcomes cannot be predicted. However, the benefits of this approach are that any changes made are more likely to be supported due to the involvement of all those affected, the commitment of individuals and groups within the organisation will increase as those individuals and groups feel ownership over the changes being implemented. The organisation and individuals also have the opportunity to learn from this experience and will know more about the organisation and how it functions, thus increasing their skills, knowledge and effectiveness to the organisation.
Decide how participative/directive you want or need to be (cont.)

The above approaches are not mutually exclusive. The key is to weigh up each particular situation and make a conscious decision as to the best overall change approach, applying the right blend of the above themes to establish what is right for each individual programme.

<table>
<thead>
<tr>
<th>Strategy</th>
<th>Advantages</th>
<th>Disadvantages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Directive</td>
<td>• Relatively fast</td>
<td>• Ignores the views of those affected by change</td>
</tr>
<tr>
<td>Expert</td>
<td>• Use relevant expertise • Small groups required • Relatively fast to implement</td>
<td>• Experts may be challenged • Resistance of those not consulted</td>
</tr>
<tr>
<td>Negotiated</td>
<td>• Change recipients have some say • Resistance to change likely to be reduced (or areas of disagreement highlighted)</td>
<td>• May be relatively slow • Anticipated change may have to be modified</td>
</tr>
<tr>
<td>Education</td>
<td>• People committed to change</td>
<td>• Relatively slow • Likely to require more resources and more costs involved</td>
</tr>
<tr>
<td>Participative</td>
<td>• Change more likely to be accepted • More people committed to change • More opportunity</td>
<td>• Relatively slow to implement • More complex to manage • Will require more resources • Increased costs</td>
</tr>
</tbody>
</table>

**FAST**
- Clearly planned
- Little involvement
- Need to overcome resistance

**SLOW**
- Exploratory
- Wide involvement
- Minimise resistance
This decision in terms of what approach can also be applied at every level within the programme, i.e.:

- **How the overall programme is set up and managed**
  - Leadership by a single sponsor or establishing a broad-based steering committee

- **How external and internal resources resource work together**
  - External expert-led workstreams or internally-led joint teams comprising representatives from across the organisation

- **How an Ignite consultant engages with his/her opposite number**
  - Pace-setting and direction or coaching and capability-building
Consider the landscape by doing some high-level diagnostic activity

- The key questions that should be asked during this initial diagnostic that will impact the change strategy include:

  - What is the size and nature of the impact?
  - What is the current level of change readiness given this anticipated impact?
  - To what extent is there resistance to this change, where is it potentially most harmful and what are the root causes of this resistance?
  - What is the recent history of change management within this organisation, and what are the key lessons learnt?
Creating a change strategy

“We need to create a change strategy”
Top tips - steps for creating a change strategy

- Step one - take a strategic perspective - decide how participative/directive you want or need to be

- Step two - take an operational perspective - consider the landscape by doing a ‘first pass’ using some of the diagnostic tools to highlight what the project and the business environment say about the likely challenges and priorities the programme will have to deal with

- Step three:
  - review the core components of a change strategy and create a draft of how you could apply the tools.
  - seek feedback on your draft approach:
    - Members of the project team
    - Key business stakeholders and sponsors
    - What’s worked well and badly before?
  - document your strategy and ask for formal review/approval before you develop detailed plans and assign resources
Top tips - developing and aligning the strategy

- Work alongside the owner of the project plan, to make sure that the change strategy will have most impact on the overall project outcomes and benefits.

- Do some early informal diagnosis through stakeholder conversations, to get a feel for what sort of change management approach will work best - eg formal and structured or informal and facilitative.

- Get input from the rest of the project team to the strategy - they will have a different view of what’s needed and their perspective will add depth to what you are proposing.

- Get input from the business, but be selective - focus in on a few ‘how can we best...?’ questions - eg ‘how can we best reach people on the shop floor? Engage people who see this project as negative? Seek honest input on readiness for each phase?’

- Find out what else is going on in the business so that you can align the change strategy with other changes and initiatives - eg is there already a network of people set up to be change agents?

- Be a bit directive - lots of people haven’t done this before so it’s essential to provide a strawman before you engage in detailed conversation about the strategy.

- Draw some graphics to show people how the change activities fit together.
The process of building the strategy will in itself be of significant value, i.e.:
- It will force consideration around the overall strategic approach to change
- It will help identify the tactics and tools that will best deliver this approach
- It will provide an initial picture of the impact and readiness for change
- It will set expectation around the resource and infrastructure required to be in place to ensure the delivery of the programme’s target benefits
- It will nail the firm deliverables that the change strategy will achieve for the particular programme
- Via engagement of the client in its development it will build change awareness and skills in linking activities to benefits delivery
1. Introduction
   - Purpose of document/why have a strategy

2. Purpose of change management
   - Generally
   - Within this programme

3. The change management approach
   - Overall
   - Core components - how will you deploy the tools

4. Resources and infrastructure

5. Measuring success

6. Managing risks and constraints

Appendix - the deliverables
1. Introduction

- The purpose of the document
- The outline approach and tools
- The scope of the document
- How this fits with other related documents and strategies
- The key resources that the strategy will tap into

![Diagram with arrows labeled Delivering the solution, Managing Change, and Benefits Realisation]
2. Purpose of change management

- Generally - change management is about enabling a programme to achieve its target results as quickly and effectively through:
  - **Creating the right environment** that will ensure the target end state is taken up as quickly and effectively as possible
  - **Building the internal capability**, be that skills or motivation, to enable staff to play their part in this new future to the maximum of their potential
  - **Reduce the risks** of the programme being unsuccessful through the inability or unwillingness of staff to engage with the future situation

- Such change management operates at two distinct levels, i.e.:
  - **Organisation** - ensuring that the organisation as a whole is mobilised, motivated and equipped to respond to the change
  - **Individual** - ensuring that each individual is provided with the optimum degree of information, support, challenge and encouragement to move from the old world to the new, taking full account of the typical stages of the ‘change curve’

- Within this programme:
  - What kind of environment do we need to create?
  - What internal capability do we need to build?
  - What risks do we need to manage?
3. The change management approach

- Overall - a picture showing how all of the components will fit together for this project

- Core components -
  - Diagnostics [link to diagnostics module]:
    - Impact of change
    - Readiness for change
    - Resistance to change
  - Responding to diagnostics:
    - Overcoming resistance
    - Building capability
  - Communications & engagement [link to communications & engagement module]:
    - Communications strategy & tactics
    - Stakeholder engagement
  - Change infrastructure [link to change infrastructure module]:
    - People
    - Structures
    - Ways of working

For each component, set out:
- Why is it needed?
- What is it intended to achieve?
- How will it be done?
- What will be the activities and deliverables over the life of the project? (see end of this module for a set of example deliverables)
4. Resources and infrastructure - roles

- Roles - outline of the key roles, e.g.:
  - Sponsor
  - Project director
  - Project manager
  - Change manager
  - Change agents

- Covering:
  - Names
  - Key accountabilities
4. Resources and infrastructure - structure

Outlining a structure covering all the key components of the change capability, informed by this framework in terms of how the structure will need to work in the particular environment that the programme is operating within:

- **Focus** - a structure that enables the organisation to focus on the really important things
- **Feasibility** - a structure that takes full account of the constraints within which the organisation must operate
- **People** - a structure that fully reflects the skills, behaviours, motivations and values of its people
- **Flexibility** - a structure that enables the organisation to remain nimble and responsive to emerging situations
- **Control** - a structure that provides the optimum balance of control and freedom that enables everyone to thrive
- **Hierarchy** - a structure that has the optimum degree of hierarchy, but that removes unnecessary layers
- **Specialisation** - a structure that takes full account of the various specialisations that exist and enables them to collectively thrive
- **Networking** - a structure that enables effective communications and collaboration across the organisation
4. Resources and infrastructure - ways of working

- An outline of the agreed ways of working based on the Ignite framework, i.e.:
  - Common vision & goals
  - Excellent coordination
  - Ongoing & effective communications
  - Clarity of roles
  - High levels of trust
  - Effective professional relationships
  - Commitment to working as a team in a way that will make a difference
  - Reviewing progress, learning and developing

Applying this framework to the specific working requirements within each programme
5. Measuring success

- The change management approach will be deemed to be a success if we achieve the following:
  - The project is able to proceed between project phases with minimal levels of business issues and caveats
  - The business, rather than the project, takes ownership for the ensuring that the conditions for successful delivery are in place
  - There is active attendance by the right people at workshops, training, testing and project review sessions
  - There is high awareness of and commitment to the specific benefits that will be delivered
  - Resources are made available at sites as and when they are needed to be involved with the project
  - Impacted groups are identified and plans are put in place to help manage them through the changes
  - There is business advocacy, and the project is given appropriate prioritisation over other matters.
  - The business understands the need for change, what it will deliver and are actively supportive and positive
  - Stakeholders remain supportive throughout the life of the project
5. Measuring success (cont.)

- The change management approach will be deemed to be a success if we achieve the following:
  - Users of the new processes and system are competent to go-live and operate the new model, having been trained at the appropriate time, and to the correct level of detail
  - The people within the change network develop the skills and have the capacity to lead change at their sites.
### 6. Managing risks and constraints - examples

<table>
<thead>
<tr>
<th>Risk/constraint</th>
<th>Likely impact</th>
<th>Planned mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unable to resource the project team with people from the business, who can build rapport the business</td>
<td>Business change is not managed effectively, resulting in additional cost and delay</td>
<td>Use of the project issues and risk escalation process as required</td>
</tr>
<tr>
<td>Limited experience of managing change in the business</td>
<td>The business becomes frustrated and disengages</td>
<td>Coaching and support in the initial stage of the programme using external help</td>
</tr>
<tr>
<td>Limited experience of managing projects of this scale in the business</td>
<td>It will take longer to get people used to their role, both on the project team and in the business</td>
<td>Change team to ensure that time is invested supporting project team members. Specific events will be held to provide them with a set of experiential walkthroughs prior to each phase. Specific support may be undertaken for particular members of staff if this is required.</td>
</tr>
<tr>
<td>Late engagement of sites compared to the project timeline</td>
<td>Ultimately this will result in additional cost, resulting from a need to catch up or delays to go-live</td>
<td>An ongoing business readiness assessment will be undertaken, which will be including metrics on engagement. Use of the project issues and risk escalation process as required</td>
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</tbody>
</table>
# Appendix one - the deliverables - examples

<table>
<thead>
<tr>
<th>Start-up phase - <strong>Mobilisation</strong></th>
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</table>
| **Overall focus** | Develop and agree the approach  
Initial engagement with the business and the project team to develop an initial understanding of the change environment and to ensure that the business is suitably engaged  
On-boarding of the change team  
Development of a change plan |
| **Impact of change assessment** | High level view of impacts of change based on stakeholder interviews  
Development of an impact of change database, visible to the entire team, together with agreed processes for capturing and managing it.  
Agree set-up and initial population of the database, with specific reference to other project documents such as the project issue and risk log |
| **Business readiness and resistance assessment** | Collate input from team members  
Use site visits and project launch to build initial picture of business readiness and appetite |
| **Communications** | Develop and sign-off the communications strategy  
Develop and publish communications plan for mobilisation and subsequent stages  
Undertake communications to launch the project and engage key stakeholders in the plan |
| **Stakeholder engagement** | Identify key stakeholders  
Develop and populate database  
Carry out initial key stakeholder review and action planning |
| **Change network** | Define roles  
Request staff to fill roles |
| **Training** | None |
## Appendix one - the deliverables - examples (cont.)

<table>
<thead>
<tr>
<th>Analysis phase - <strong>Frame &amp; Illuminate</strong></th>
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</thead>
<tbody>
<tr>
<td><strong>Overall focus</strong></td>
<td>Update the approach following sign-off of the Project Definition Document. Engage with and support the change agents to build their awareness of the nature and scale of business change that will be needed and how the project will go about this. Agree with them what support they need. Embed ways of working within the project team, so that impacts of change are identified and managed effectively. Ensure that the As-Is  (FRAME AND ILLUMINATE) workshops effectively capture the information required for supporting change management and that the business are effectively engaged in the process. In conjunction with the Project Manager, define the business success criteria, including the specific changes expected by senior management. Invest in preparing for the To-Be (CREATE AND STRETCH &amp; BUILD) phase - having the right people in place, with a good understanding of purpose, processes in place and business validation and sign-off of the design.</td>
</tr>
<tr>
<td><strong>Impact of change assessment</strong></td>
<td>Use the As-Is workshops  (FRAME AND ILLUMINATE ACTIVITIES) to collect base-line information in order to help understand likely changes to the business, and as a reference point for the To-Be (CREATE) workshops Actively support/assure the collection of this data Change team to start to maintain and manage the ‘impact of change’ database. Provide access to the database for key stakeholders in the business at end of phase.</td>
</tr>
<tr>
<td><strong>Business readiness assessment</strong></td>
<td>Use As-Is workshops (FRAME AND ILLUMINATE ACTIVITIES) to informally assess business readiness Invite senior leadership teams to contribute to business readiness reviews</td>
</tr>
</tbody>
</table>
### Analysis phase - **Frame & Illuminate**

<table>
<thead>
<tr>
<th>Deliverables</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Communications</strong></td>
<td>Deliver the communications plan, including business launch, supporting site launches, webcasts and an intranet site. Provide and keep updated core communications material for sites to tailor and use. Solicit feedback on ‘what works well/even better if’. Set up feedback mechanisms and processes for dealing with questions from sites. Publish FAQs on the Intranet. Develop and publish communications plan for To-Be <em>(CREATE AND STRETCH &amp; BUILD)</em> phase.</td>
</tr>
<tr>
<td><strong>Stakeholder engagement</strong></td>
<td>Formally validate and review key stakeholders with project director, project manager and change agents and formalise the stakeholder plan. Determine whether other key stakeholders exist and what engagement is required. Engage with key stakeholders as appropriate to share and agree approach and to understand risks, issues and concerns. Create a project ‘immersion area’ to engage with key stakeholders. Follow actions as agreed in the plan, and update plan as necessary.</td>
</tr>
<tr>
<td><strong>Change network See Project &amp; Change Infrastructure tool</strong></td>
<td>Engage with change agents to agree mutual expectations of the role and to deliver a specific on-boarding session to help them understand the nature of the journey they will go through. Agree how change agents will work as a team to share, discuss and resolve issues. Provide updated/new project plans, schedules and core material to enable local planning of effort. Initiate reporting process of progress, risks and issues from sites. Support change agents to carry out a review of evidence and determine their readiness to move into the next phase. Undertake site visits (as needed) to validate as-is analysis, to support planning and/or to resolve specific issues/gaps.</td>
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</table>
Appendix one - the deliverables - examples (cont.)

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<thead>
<tr>
<th>Analysis phase - <strong>Frame &amp; Illuminate</strong></th>
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</thead>
<tbody>
<tr>
<td>Training</td>
<td>Create first draft end-user training strategy</td>
</tr>
<tr>
<td></td>
<td>Identify and evaluate training tools</td>
</tr>
<tr>
<td></td>
<td>Identify size of end-user training population</td>
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</table>
### Design phase - Create and Stretch & Build

| Overall focus                                                                 | More actively use the change agent network to share current thinking with key stakeholders in sites  
|                                                                              | Have developed a thorough understanding of the changes and gaps from the As-Is model  
|                                                                              | Business sign-off of the impact of change analysis and plan.  
|                                                                              | Agree training approach  
|                                                                              | Plans developed for the build, test & deliver phase  
| Impact of change assessment                                                   | Output from To-Be workshops to populate the change impacts database with a factual statement of business changes - collected, updated and reviewed throughout the To-Be process.  
|                                                                              | Collate and review the most significant impacts, by impacted group.  
|                                                                              | Use end-to-end process walkthroughs with the business to confirm and flesh out impacts  
|                                                                              | Develop and agree change plan with the business  
| Business readiness assessment                                                 | Agree readiness criteria for use at the end of this phase  
|                                                                              | Develop a bank of business readiness assessment criteria/questions for transition to the system build/test/deliver phase, and for the sub-phases within it  
|                                                                              | Continued informal reviews  
|                                                                              | Formal assessment of business readiness at end of phase and provide evidence of business readiness for transition to the system build/test/deliver phase |
## Appendix one - the deliverables - examples (cont.)

### Design phase - Create and Stretch & Build

| Communications          | Keep communications plan up to date and deliver accordingly  
                          | Provide ongoing core communications material for sites to tailor and use  
                          | Ongoing review of questions arising to proactively influence communications plan  
                          | Develop and publish communications plan for system build/test/deliver phases and the pilot  
|-------------------------|---------------------------------------------------------------|
| Stakeholder engagement  | Ongoing review and update of key stakeholders plan  
                          | Carry out actions as agreed  
                          | Formal engagement and sign-off by key stakeholders of the To-be model - eg through a series of end-to-end business walkthroughs in the latter stages of the phase (functional, site and senior staff)  
| Change network          | Develop and formalise delivery of local communication and change plans  
                          | Continued engagement (via HR) with key stakeholder groups as required  
                          | Ongoing review of the impact of change, emerging from the To-Be workshops and proactive management of implications  
                          | Site visits (as required) to manage any issues arising from the To-Be design  
                          | Work with Site Co-ordinators to agree readiness criteria and support ongoing management and monitoring throughout the phase.  
                          | Pilot site - support and coach them on the development of the first iteration of the local change plan  
| Training                | Conduct Training Needs Analysis (TBC: for all sites or just pilot) - process and system education and training  
                          | Confirm how training will be delivered  
                          | Update and sign-off training strategy  


## Implementation phase - Embed

<table>
<thead>
<tr>
<th>Overall focus</th>
</tr>
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<tbody>
<tr>
<td>Active support for and involvement of change agents and their colleagues in</td>
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<tr>
<td>getting the business ready for implementation.</td>
</tr>
<tr>
<td>Facilitate/support the engagement with key stakeholder groups as necessary.</td>
</tr>
<tr>
<td>Manage and support the delivery of the impact of change actions/plan</td>
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<tr>
<td>Support the issue resolution process through build and test</td>
</tr>
<tr>
<td>Actively plan and support the delivery of training</td>
</tr>
<tr>
<td>Support pilot site to achieve a successful transition. Including post-go live</td>
</tr>
<tr>
<td>Support the issue resolution process through build and test</td>
</tr>
<tr>
<td>Actively plan and support the delivery of training</td>
</tr>
<tr>
<td>Support pilot site to achieve a successful transition. Including post-go live</td>
</tr>
<tr>
<td>Provide opportunities for other sites to learn from the pilot experience</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Impact of change assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage impact of change issues to closure</td>
</tr>
<tr>
<td>Update role definitions and manage any implications arising</td>
</tr>
<tr>
<td>Support pilot site to translate the change impacts for their own area - e.g. through</td>
</tr>
<tr>
<td>local process walkthroughs</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Business readiness assessment</th>
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<tbody>
<tr>
<td>Stakeholder interviews conducted at the start of this phase - to inform overall readiness</td>
</tr>
<tr>
<td>and help shape plans</td>
</tr>
<tr>
<td>Develop a more specific questionnaire/assessment for pilot site to use in assessing</td>
</tr>
<tr>
<td>local readiness for go-live and post go-live</td>
</tr>
<tr>
<td>Support sites to carry out their own review - e.g. at senior management team level, or</td>
</tr>
<tr>
<td>via a cultural diagnostic survey (might be undertaken through workshops or questionnaire</td>
</tr>
<tr>
<td>with representatives from sites)</td>
</tr>
<tr>
<td>Regular monthly and formal reviews of business readiness throughout this phase, particularly</td>
</tr>
<tr>
<td>focused on pilot site</td>
</tr>
<tr>
<td>Develop go-live business readiness criteria along side</td>
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</tbody>
</table>
Appendix one - the deliverables - examples (cont.)

### Implementation phase - Embed

<table>
<thead>
<tr>
<th>Area</th>
<th>Description</th>
</tr>
</thead>
</table>
| **Communications** | Keep communications plan up to date and deliver accordingly  
Provide ongoing core communications material for sites (pilot and other) to tailor and use  
Ongoing review of questions arising to proactively influence communications plan  
Develop and publish detailed communications plan for cutover period |
| **Stakeholder engagement** | Ongoing review and update of key stakeholders plan, with a particular focus on senior management and stakeholders in the pilot site  
Carry out actions as agreed  
Formal engagement and sign-off by key stakeholders of business readiness on a regular basis throughout this phase, matched to plan milestones/deliverables. |
| **Change network** | Coach the pilot site to develop and implement their local change plan  
Support follow-on sites to shadow the pilot site  
Support change agents to carry out a review of evidence and determine their readiness to move into the next phase  
Support the pilot site (and other sites if appropriate) in communication and consultation with key stakeholder groups, as required  
Minimum of monthly pilot site visits (project director, change team member, other process representatives as needed) |
| **Training**      | Create training materials, mapped to (new) business roles and system access requirements  
Deliver training for pilot site |
Impact & readiness for change

“We need to assess and clearly articulate the likely impact and readiness for change”
What do we mean by ‘impacts of change’?

1 - what makes a ‘big’ change big?
2 - to what extent does this change feel big or small?

Individual impact

- "I can take this in my stride"
- New bike

Organisation impact

- "incremental change"
- New headquarters

- "transformational change"
- New technology

New house

- "this is life changing"

New life

New way of working

New product

New suit
Why do we need to assess and manage impacts of change?

Changes may arise to any of the following:

- **Ways of working** - processes, procedures, terminology
- **Roles** - responsibilities, relationships, structure, workload, expectations, skills & capabilities, numbers
- **Systems** - functionality, process, data, expertise, hardware, interfaces
- **Culture** - behaviours, performance management, collaboration, integrated working
Inputs and outputs

Project team change assessment:
• top-down, global
• bottom-up, detailed

End-to-end process walkthrough

System demonstrations

Local team assessment

Changes needed to deliver planned benefits - local or wider

Impacts of change

Plan & manage significant change
• Structural, behavioural, process....

Benefits
• Plan change to safeguard planned benefits

Manage risk
• Achieve a smooth transition, with sustainable change

Part of our communication
• Making it real & relevant

Include in education, training & ways of working/procedures
• Capture the To-Be world for staff
Tools to assess the likely impact of change - some key prompts

Prompts for the individual:

• How exactly will the roles and responsibilities change?
  - The role of the person currently performing the role & that of other people
  - Do management responsibilities change?
  - How does it affect performance management?

• Does the workload change, to what extent and when?

• Does it change the relationships between teams or individual roles?

• Are there different capabilities or skills needed?

• Where are the process and systems changes?

Additional prompts for the organisation:

• In what way will this affect organisational and reporting structures?

• How will it impact and be impacted by other initiatives?

• Will there be any external impact - eg on customers or business partners?

• Will there need to be any changes to technology?
Logging the changes

A spreadsheet-based log, for regular review by the team, to agree where more detailed assessment or planning is needed

<table>
<thead>
<tr>
<th>IOC ref</th>
<th>Date entered</th>
<th>Process area</th>
<th>Change</th>
<th>H, M, L</th>
<th>Who will be impacted</th>
<th>Actions to manage</th>
<th>Owner</th>
<th>Due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>16/07/2012</td>
<td>SNP, Inbound &amp; QC - MASTER DATA</td>
<td>More master data will be needed, with more/new attributes to be collected for each item. Certain data fields will be mandatory, anyone who provides data must understand what each field is for, and how to populate it - data education /reference materials will be needed. Data cleansing in JDE will be needed before migration to SAP (some vendor cleansing will be outsourced, but materials will need Nottingham resource). Procurement data enrichment for MDM 3rd repository - needs to be managed alongside SAP data cleansing/enrichment in Q4 2012.</td>
<td>H</td>
<td>All</td>
<td>Initial master data session, 16-17 July. Then include cleansing and training activities in the site plan.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>16/07/2012</td>
<td>SNP</td>
<td>There may be changes to the commitment process, we need to decide who will do each commitment</td>
<td></td>
<td></td>
<td>SOP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>16/07/2012</td>
<td>SNP</td>
<td>SAP will do daily stock reductions, which will have an impact on how we manage demand planning</td>
<td></td>
<td></td>
<td>SOP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>16/07/2012</td>
<td>SNP</td>
<td>Planners will be able to do simulations (eg to model the impact of promotions etc as forecast by Commercial)</td>
<td></td>
<td></td>
<td>SOP, training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>16/07/2012</td>
<td>SNP</td>
<td>Weekly routines will need to be clear - Commercial need to know when they are looking at firm forecast (eg by Tuesday lunchtime each week)</td>
<td></td>
<td></td>
<td>SOP, comms with Commercial</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>16/07/2012</td>
<td>SNP</td>
<td>There will no longer be a 1:1 match between sales orders and production orders</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**High** - high risk to the business, needs careful & active management to prevent business disruption - eg large numbers of people impacted, or a major change to a process area and ways of working

**Medium** - needs management, but unlikely to be problematic - eg small number of people affected or minor change to process area requiring updated working procedures

**Low** - low business risk - eg could be managed through communications or training
Assessing & managing the most significant changes

**Business Impact of Change Assessment**

Only to be completed if the nature of change represents a significant business risk and needs proactive management to prevent possible business disruption.

File naming convention: IOC <number>- short title

<table>
<thead>
<tr>
<th>Reference:</th>
<th>IOC LOG No - &lt; &gt; ref &lt;x.n.n.n&gt; &amp; &lt;process short description&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process area</td>
<td>&lt;insert&gt; NAME OF THE CHANGE &lt;insert short title&gt;</td>
</tr>
<tr>
<td>Site(s) impacted</td>
<td>&lt;insert&gt;</td>
</tr>
<tr>
<td>Team(s) impacted</td>
<td>&lt;insert&gt;</td>
</tr>
<tr>
<td>Business owner</td>
<td>&lt;insert&gt;</td>
</tr>
</tbody>
</table>

**Describe the nature of the change**

What is going to change/could change? – be as precise as possible

<insert text>

**Describe the nature of the business risk**

Why does this change warrant special attention?

<insert text>

**What needs to be done or agreed to mitigate against this risk?**

<insert text>

**Action Plan and Log**

What is the agreed action plan – including dates and owner

Record of actions completed

<table>
<thead>
<tr>
<th>Action and updates on status</th>
<th>Owner</th>
<th>Due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Changes that are felt to be of higher business risk and require specific action will be subject to a more formal Impact of Change assessment.
  - Changes that could result in significant operational difficulties or business disruption - eg prevents the movement of goods, causes cash flow problems, jeopardises relationships with staff or third parties....
  - It will identify the exact nature of the risk, who needs to be part of the management process and assign ownership. In doing so it will ensure that the change is managed well, and that the right people are involved in the process.

- When the individual assessments are complete, compile the plans into the overall change plan (tasks, owners, resource, milestones).
Hints and tips

- Talk to other teams who are working on the project - to understand their changes and how they are identifying them and planning actions
- Take every opportunity to build the IOC log in meetings with other members of the team
- Review the log regularly in team meetings - say every two to three weeks, to keep a focus on it
- Engage local staff in the changes - run some local process walkthroughs and experiential sessions to help them identify changes you may not have thought of
- Use a dashboard to track resolution of High, Medium and Low impacts - gives a sense of progress
- When you have developed your action plans, discuss them as a team, to identify dependencies and opportunities to deliver more benefit, or reduce effort or risk
Readiness means being prepared. In summary change readiness can be defined as:

- Having the right conditions and resources in place to support the change process
- Having a clear vision and objectives for the intended change
- Having the motivation and attitudes to engage with the change and make it work

So the purpose of a change readiness assessment is to analyse the preparedness of the conditions, attitudes and resources need for change to happen successfully. The greater the complexity of the proposed change, the greater the importance of understanding where in the system there is readiness for change.
Why assess for change readiness?

- Whatever the size and scope of the intended change it is important that key stakeholders understand whether the whole system, and any or all of the elements within it, are ready.

- This is for two reasons:
  - if you embark on a capacity development change initiative without assessing readiness, at best you risk wasting opportunities and resources, and at worst you risk doing damage to existing capacity
  - the interrelatedness of all parts in a functioning system means that even though many may be ready, perhaps one small element could block capacity development initiatives from being effective

- Change readiness does not have to be about the creation of new capacity but may be instead about the conditions for people to be able to use existing capacity, for example collaborative team work, or salaries and incentives to motivate and retain staff. It can also be about the ability to manage change, which requires several soft capacities such as communication skills, flexibility and responsiveness, strategic thinking and so on. The lack of the right conditions often creates blocks to capacity creation, utilisation and retention.
What could ‘readiness for change’ include?

**Capacity**
Are we trying to do too much, across too many fronts with too little support?

**Capability**
Do we have enough of the skills we need across the parts of the company that are changing most?

**Energy/appetite/enthusiasm/culture**
How do people feel about the changes being planned or implemented - what is their appetite to support them?

**Progress**
Are we making the progress we need, in order to be ready for the future and to deliver the planned benefits?
## The levels and dimensions of readiness

<table>
<thead>
<tr>
<th>Dimensions ↓</th>
<th>Levels →</th>
<th>Institutional/enabling environment</th>
<th>Organisational</th>
<th>Individual</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Attitudes:</strong> The political economy for change: the vision of a different future and the commitment to achieve it</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Conditions:</strong> The laws, structures, systems, etc. necessary to mandate, support and manage the change</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Resources:</strong> The human, physical and financial resources needed to support or facilitate the change</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
Zooming in and zooming out

Zooming in means looking at smaller units, such as departments, teams or individuals. Zooming out means assessing relevant factors in the surrounding environment. What this might mean in practice is shown in the table below.

<table>
<thead>
<tr>
<th>Levels → Dimensions ↓</th>
<th>Institutional/enabling environment</th>
<th>Organisational</th>
<th>Individual</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Attitudes:</strong></td>
<td><strong>Zoom out</strong> to the political economy for change: e.g. what factors in the environment will enable or inhibit the work?</td>
<td><strong>Zoom out</strong> to the culture and motivation in the organisations in the sector and associated networks</td>
<td><strong>Zoom in</strong> to the attitude of key stakeholders: e.g. will the leadership give the change their political support?</td>
</tr>
<tr>
<td><strong>Conditions:</strong></td>
<td><strong>Start here for sector reform conditions:</strong> e.g. what laws, policies, structures, systems are already in place?</td>
<td><strong>Zoom in</strong> to the mandates, governance, structures and systems of individual organisations</td>
<td><strong>Zoom in</strong> to the job descriptions and conditions of service of individuals</td>
</tr>
<tr>
<td><strong>Resources:</strong></td>
<td><strong>Zoom in</strong> to look at what external resources are already available to support the change</td>
<td><strong>Zoom in</strong> to organisational resources: e.g. do they have what they need to implement and manage the change?</td>
<td><strong>Zoom in</strong> to the knowledge and skills of individuals who will be critical to implementation</td>
</tr>
</tbody>
</table>
Typical topics to probe in assessing change readiness

- **Change history**
  - What type of change has been previously managed well? What made the difference?
  - What type of change hasn’t been managed so well? What was missing or not done? What could have been done?

- **Business capacity**
  - What other projects are going on in your part of the business? Who will feel the most impact and when?
  - What other initiatives are going on (eg performance reviews, budgeting, business planning)?

- **Current climate**
  - What’s morale like in your part of the organisation at the moment?
  - What are people’s views on the current projects being planned and in progress?

- **Change infrastructure**
  - How well do the organisation’s communication channels work for building awareness and engagement in projects (compared to business as usual)?
  - Are there any natural ‘champions’ in your team who embrace change and motivate others?

- **Sponsorship and leadership**
  - Do senior managers visibly sponsor change - eg by role modelling new behaviours or using new systems?
  - Are people involved in projects given performance objectives that indicate how seriously the success of those projects is taken?
### Readiness change question bank - history

<table>
<thead>
<tr>
<th>QUESTION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1  What types of changes have been undertaken in the organisation over the last x years?</td>
<td></td>
</tr>
<tr>
<td>2  Which of these was seen as being successful?</td>
<td></td>
</tr>
<tr>
<td>3  Why do people say that? What made the difference between success and failure?</td>
<td></td>
</tr>
<tr>
<td>4  Why do you think that?</td>
<td></td>
</tr>
<tr>
<td>5  What went well on these projects? (checklist of key aspects eg comms, training, leadership)</td>
<td></td>
</tr>
<tr>
<td>6  What went badly on these projects? What could have been done better?</td>
<td></td>
</tr>
<tr>
<td>7  Has the business formally assessed and managed the change impacts?</td>
<td></td>
</tr>
<tr>
<td>8  What could be improved about the way the organisation manages major projects?</td>
<td></td>
</tr>
<tr>
<td>9  What is the usual style for implementing change? Is that appropriate for this project?</td>
<td></td>
</tr>
<tr>
<td>10 Have you been involved in any projects that involved changes to the way you work? - details</td>
<td></td>
</tr>
<tr>
<td>QUESTION</td>
<td></td>
</tr>
<tr>
<td>----------</td>
<td></td>
</tr>
</tbody>
</table>
| 1 | What other projects are in train or planned over this period?  
| 2 | Who will they most impact?  
| 3 | Are these the same people who will be impacted by this project?  
| 4 | What type and level of management input will they need? When are the peaks and troughs in this requirement?  
| 5 | What are the resource requirements for other initiatives - will this project require the same skills and representation?  
| 6 | What else is going on in the business - what pressures will the business face in this period?  
| 7 | Is there a central co-ordinating/management function for these projects and initiatives? How are the priorities being managed?  
| 8 | How much airtime do change projects get? Which is getting the most now?  
| 9 | How are people responding to these changes - excitement? weariness? cynicism?  
| 10 | What particular times of year/month are especially busy and why (eg month-end close)?  
| 11 | Are there any company initiatives that will impact your job role, or will do in the next year or so?  

## Readiness change question bank - climate

<table>
<thead>
<tr>
<th>QUESTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>4</td>
</tr>
<tr>
<td>5</td>
</tr>
<tr>
<td>6</td>
</tr>
<tr>
<td>7</td>
</tr>
<tr>
<td>8</td>
</tr>
<tr>
<td>9</td>
</tr>
</tbody>
</table>
# Readiness change question bank - organisation capability

<table>
<thead>
<tr>
<th>QUESTION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Are any of the people involved in the more successful change projects available to work on this project?</td>
<td></td>
</tr>
<tr>
<td>2 What skills have been developed in recent change programmes?</td>
<td></td>
</tr>
<tr>
<td>3 How many staff are trained in project and change management skills?</td>
<td></td>
</tr>
<tr>
<td>4 What do you think ‘change management’ means or involves in this organisation?</td>
<td></td>
</tr>
<tr>
<td>QUESTION</td>
<td></td>
</tr>
<tr>
<td>------------------</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>How is the project team viewed? Are they seen as positive, supportive, insightful, sympathetic, challenging?</td>
</tr>
</tbody>
</table>
| 2 | Does the project team have access to:  
  - The necessary technical skills  
  - Organisation representation at site level - are there any issues around who they are, how much time they are able to release, their position in the business?  
  - Key Users - are they identified yet? Do we have enough people with the right representation and skills? |
| 3 | Is the project team tied into the people who really get things done and/or who are respected? |
| 4 | Are there any tensions that need to be resolved? eg within project team, between project team and sites, etc |
| 5 | What communications mechanisms are already in place that do work? That don’t work? |
| 6 | What types of communications have been tried in the past? |
| 7 | Is the project governance structure clear to everyone? Including the governance controls between the project team and the business? |
| 8 | Are people’s roles and responsibilities clear to everyone? |
| 9 | Are there effective risk identification and management procedures in place? Does that include business change risks? |
| 10 | Do the various teams work well together? Are there regular & constructive team meetings? |
## Readiness change question bank - sponsorship

<table>
<thead>
<tr>
<th>QUESTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Who are the key sponsors? What are they doing (behaviours and actions) to demonstrate their active sponsorship?</td>
</tr>
<tr>
<td>2 Has the stakeholder assessment identified specific targets for support? Do any of the sponsors need specific coaching or support to help them to fulfil their role?</td>
</tr>
<tr>
<td>3 Do the sponsors have a good understanding of the vision and of the impacts of this project (positive &amp; negative)?</td>
</tr>
<tr>
<td>4 What are we doing to engage the sponsors? And help them as part of a network?</td>
</tr>
<tr>
<td>5 Are people involved in projects given performance objectives that indicate how seriously the success of those projects is taken?</td>
</tr>
<tr>
<td>6 Who really gets things done? Who do people follow and listen to?</td>
</tr>
</tbody>
</table>
Readiness change question bank - barriers to success

<table>
<thead>
<tr>
<th>QUESTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
</tr>
<tr>
<td>2</td>
</tr>
</tbody>
</table>
Readiness for change

- Potential questionnaire covering the following areas:
  - Programme and change
  - Culture
  - Leadership
  - Role changes and performance
  - Communications and involvement
## Programme and change

<table>
<thead>
<tr>
<th></th>
<th>The business decision to implement this project is a good one.</th>
<th>Strongly Disagree</th>
<th>Agree</th>
<th>Sometime's Agree/Disagree</th>
<th>Disagree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The business decision to implement this project is a good one.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>I believe that the project is taking the organisation in the right direction.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>3</td>
<td>Overall, I expect that the business and the project team will be successful in implementing the change.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>4</td>
<td>I believe senior management is committed to this project’s success.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>5</td>
<td>I believe the management team is committed to this project’s success</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>6</td>
<td>I believe my part of the organisation is committed to the success of this project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>7</td>
<td>I am committed to the success of this project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>8</td>
<td>I think the changes that are part of implementing this project will achieve an improvement to our current way of operating.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>9</td>
<td>I feel the project team understands my organisation requirements.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>10</td>
<td>I am confident of the organisations ability to deliver the changes and benefits forecast from the business case.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Question</td>
<td>Strongly Disagree</td>
<td>Agree</td>
<td>Sometimes Agree/Disagree</td>
<td>Disagree</td>
<td>Strongly Disagree</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------</td>
<td>-------------------</td>
<td>-------</td>
<td>---------------------------</td>
<td>----------</td>
<td>-------------------</td>
</tr>
<tr>
<td>11</td>
<td>Our culture is receptive to change.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>12</td>
<td>Our culture, in our area of the organisation is receptive to change.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>13</td>
<td>Our culture, in our team is receptive to change.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>14</td>
<td>Changes made over the last year are taking us in the right direction.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>15</td>
<td>There is just the right amount of change occurring within the organisation to keep us serving our customers well.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>16</td>
<td>We acknowledge and celebrate our collective successes.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>17</td>
<td>Errors and failures are talked about freely so others may learn from them.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>18</td>
<td>Typically, the right people are assigned to the right internal projects.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>19</td>
<td>Overall, we are looking forward to the project implementation.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>20</td>
<td>Overall, my service is looking forward to the project implementation.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>21</td>
<td>There is a general commitment in my area of the organisation to successfully complete this project.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>22</td>
<td>My area of the organisation is “change weary”.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>23</td>
<td>Work stress is at a manageable level for me.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td></td>
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<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>The Leadership Team has clearly communicated the vision and strategy for the organisation.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>25</td>
<td>The Leadership Team has set realistic and achievable timelines for my area of the organisation to get involved.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>26</td>
<td>Senior management in my area has a realistic vision about how much change is required to implement the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>27</td>
<td>Senior management in my service knows how to successfully implement major changes?</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>28</td>
<td>In my area of the organisation management is available to discuss work issues related to the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>
## Role changes and performance

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>29</td>
<td>I have a firm understanding of my organisation's operations.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>30</td>
<td>I understand how my activity impacts on other areas.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>31</td>
<td>I understand how my activity impacts others in my area.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>32</td>
<td>I expect the project will have some impact on my work.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>33</td>
<td>We have a good track record in resourcing projects adequately</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
</tbody>
</table>
## Communication and involvement

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Strongly Disagree</th>
<th>Agree</th>
<th>Sometimes Agree/Disagree</th>
<th>Disagree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>34</td>
<td>So far I felt adequately informed about what is happening on the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>35</td>
<td>So far I am satisfied with the frequency and timing of information I receive from the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>36</td>
<td>I would like to receive more frequent communication from the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>37</td>
<td>I am satisfied with the quality and clarity of information I receive from the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>38</td>
<td>My manager keeps me informed about the project and how it will impact on our area of the organisation.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>39</td>
<td>I feel free to directly contact people on the project team when I have a question or request.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>40</td>
<td>I would take advantage of opportunities to provide anonymous feedback and/or suggestions to the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>41</td>
<td>People who will be affected by the implementation are adequately involved.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>42</td>
<td>Our organisation area has representatives who are actively involved in the project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>43</td>
<td>I would like to be more involved with this project.</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>
Project relevance

What do you think to be the most relevant reasons or benefits for the project?
1. 
2. 
3. 
4. 
5. 
6. 
7. 
8. 
9. 
10.

Based on what you know to date, what do you like best and least about the project?

Best:
1. 
2. 
3. 
4. 
5. 

Worst:
1. 
2. 
3. 
4. 
5. 

What are the three things you’d change about the project based on what you know, and why?
1. 
2. 
3.
Your comments

I. What are the greatest obstacles or concerns you see in completing this project?

II. What would you recommend to ensure the successful implementation of the project?

III. What concerns you about life after the implementation?
Resistance to change

“We need to assess and clearly articulate the likely resistance to change”
Tools to assess the readiness for change - resistance

Assessing resistance to change - the options

- **Option one** - against the top ten reasons for resistance
- **Option two** - against a resistance v awareness framework
- **Option three** - using the Jaansen ‘frame of mind’ model
### Tools to assess the readiness for change - resistance

<table>
<thead>
<tr>
<th>Top ten reasons for resistance</th>
<th>Current levels - ‘content’</th>
<th>Current levels - ‘process’</th>
<th>Root cause(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The risk of change is seen as greater than the risk of standing still</td>
<td>High</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>2. People feel connected to other people who are identified with the old way</td>
<td>Low</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>3. People have no role models for the new activity</td>
<td>Low</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>4. People fear they lack the competence to change</td>
<td>High</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. People feel overloaded and overwhelmed</td>
<td>Medium</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>6. People have a healthy scepticism and want to be sure new ideas are sound</td>
<td>Medium</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>7. People fear hidden agendas among would-be reformers</td>
<td>High</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>8. People feel the proposed change threatens their notions of themselves</td>
<td>High</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>9. People anticipate a loss of status or quality of life</td>
<td>Low</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>10. People genuinely believe that the proposed change is a bad idea</td>
<td>Low</td>
<td>Low</td>
<td></td>
</tr>
</tbody>
</table>

- **Resistance to the content of change** - for example to a specific change in technology or to the introduction of a particular reward system
- **Resistance to the process of change** - this concerns the way a change is introduced rather than the object of change per se, for example, management re-structure jobs without prior consultation of affected employees
Tools to assess the readiness for change - resistance

Map in relation to both their awareness and their resistance...

- **Enthusiastic but naive**
  - Low awareness
  - High support
  - Provide education and support
- **“The ideal”**
  - High awareness
  - High support
- **Independent, sceptical**
  - High awareness
  - Low support
  - Seek gradual improvement and encourage questions
- **Solid awareness**
  - Low support
  - Get feedback and address concerns

Does support

- High
- Low

Does not support

- High
- Low
### Tools to assess the readiness for change - resistance

Map in relation to Jaansen’s ‘frames of mind’ model...

<table>
<thead>
<tr>
<th>Contentment:</th>
<th>Denial:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confident, calm, effective, liking myself, relaxed, willing to compromise,</td>
<td>Irritated, tense, bored, calculating, withdrawn, tough, determined,</td>
</tr>
<tr>
<td>uncomplicated, resting, collected, useful, industrious, belonging,</td>
<td>stating the facts, square, superior, deliberating, poor, mean, like an</td>
</tr>
<tr>
<td>comfortable, optimistic, satisfied, sleepy</td>
<td>impostor, abstract, hard, hidden, frozen, hesitant, en-tangled,</td>
</tr>
<tr>
<td></td>
<td>gnawing, fettered, harsh, indifferent, cynical, uniformed, critical,</td>
</tr>
<tr>
<td></td>
<td>hostile, condemned</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Confusion:</th>
<th>Renewal:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Troubled, alone, frustrated, split, anxious, misty, different, confused,</td>
<td>Eager, strong, open, alive, able to do what I want, light, intelligent,</td>
</tr>
<tr>
<td>no self-confidence, restless, worthless, helpless, a failure, raging,</td>
<td>independent, growing, warm, glowing, vibrant, creative, insightful,</td>
</tr>
<tr>
<td>ambivalent, rootless, inferior, uncertain, doubtful, afraid, sad, left out,</td>
<td>ecstatic, with faith, hope, love, courageous, rich, infinite</td>
</tr>
<tr>
<td>“no one understands me”, burnt out, paralysed, torn, lost, fragmented, in</td>
<td></td>
</tr>
<tr>
<td>chaos.</td>
<td></td>
</tr>
</tbody>
</table>
Commitment to change

“We need to build and sustain the necessary commitment to change”
Building commitment - slaying the dragon

One way of building commitment through a team or organisation is through identifying a major threat or challenge and then mobilising behind tackling it. The tasks involved are:

- **Identify, interpret and define a threat to the organisation**
  - Chose wisely and understand them intimately
  - Establish the root causes and interpret them
  - Bring the threat to life
  - Engage the whole management team in interpreting and defining the threat

- **Mobilise communications and engagement to create widespread awareness of the threat**
  - Make the danger realistic and relevant
  - Appeal to the emotional as much as the rational

- **Strengthening the collective confidence that the organisation can deal with the threat**
  - Present the threat as a challenge
  - Provide the tools and approach to tackle the challenge
  - Provide widespread emotional encouragement
Slaying the dragon - key risks

- **Overwhelming the organisation** - where an organisation has experienced exceptionally long periods of inertia, the process of reminding it how to mobilise themselves around a real threat, challenge or opportunity will require significant stimulation. Care is required to avoid overwhelming the organisation and pushing them further towards complete paralysis.

- **Insufficiently channelling the energy** - care must be taken to ensure that the energy activated is channelled in an area where it can be used well. Productive energy emerges not only by activating a company’s potential, but also by channelling it well.

- **Overestimating how long and how often a threat can mobilise people** - trying this strategy for years or repeatedly trying it can begin to backfire. Organisations that are repeatedly slaying the dragon can drive themselves towards burnout.
Building commitment - winning the princess

- An alternative to mobilising round a threat with the ‘slaying the dragon’ approach is to apply a more positive approach, i.e. inciting the organisation to pursue a promising opportunity. This works better over the long haul as positive energy can be built slowly over time.

- An exciting innovation, emerging market, new customer segment or organisational vision can represent a future opportunity that could release substantial energy and potential within an organisation.
Summary of tasks in winning the princess

- **Identifying, interpreting and defining an opportunity**
  - Develop a clear and vivid picture of the future - a vision that is unique for your organisation
  - Inspire employees to work towards a collective goal

- **Passionately communicating the opportunity**
  - Create enthusiasm for the vision, making it emotionally appealing for employees
  - Develop a clear branding of the vision
  - Monitor the organisation’s progress in pursuing the vision

- **Strengthening collective confidence in the opportunity**
  - Participate personally and visibly in the pursuit of the vision or opportunity
  - Deal decisively with staff who do not support the vision
  - Align recognition and reward systems with pursuing the vision or opportunity
Example ‘princess winning’ visions

- **John F Kennedy** - we will land a man on the moon and return him safely to the earth

- **AT&T** - our service is universal - we will provide every house in the United States with standard telephone services

- **Ford** - mass-producing automobiles is our business

- **McDonald’s** - we are the world’s leading fast-food vendor

- **Domino’s Pizza** - we guarantee your pizza will be delivered within thirty minutes, no matter where you live

- **Nike** - everyone who has body is an athlete. We help athletes become winners

- **Tata Motors** - we will produce a $2,500 car in January 2008
Winning the princess - key risks

- **Over focusing on the long-term opportunity** - although the future vision or opportunity should be the key focal point for mobilizing energy it is vital to achieve the appropriate balance between this and other activities that are vital to the organisation’s success.

- **Increased demands for continuity of leadership** - the winning-the-princess strategy by its very nature demands long-term pursuit and therefore continuity. Visions are typically associated with leaders and hence the demands for continuity in management are especially high.

- **Neglecting the time limitation of an opportunity** - as an energy-mobilising strategy, winning the princess is unsuitable for maintaining high levels of productive energy over extended periods.
Five steps to building commitment to change

Step one: Identify whose commitment is needed

Step two: Determine the level of commitment needed

Step three: Estimate the critical mass

Step four: Get the commitment to the critical mass

Step five: Status check to monitor level of commitment
Five steps to building commitment to change - step one:

Step 1: Identify Whose Commitment Is Needed

Question 1

- Who are key people whose commitment would help bolster the chances of success? In particular, who are the "peer leaders" - individuals others will watch to see how they weigh in on the coming change?

Question 2

- "Who among those who would be affected by this change could either help our plan or derail it?" The stakeholders including those who would be affected by the change, could help make the change happen, or could pop up with the power to derail the change.
Five steps to building commitment to change - step two:

Step 2: Determine the Level of Commitment Needed

Determine how committed they are to the intended change. Talking to them, getting the opinions of others, making a judgement. Either individually or during organised sessions. Then, determine what level of commitment you need from specific people. People usually fall into one of four categories:

- those who resist the change,
- those who let it happen,
- those who help it happen, and
- those who make it happen.
Five steps to building commitment to change - step three:

Step 3: Estimate the Critical Mass

- After identifying the key employees and determining their level of support for the change, determine how many of those people are needed to implement the change. The number of committed people required to make the change happen is called critical mass.

- Unfortunately, there is not a specific formula for figuring out critical mass. The nature and scope of the change is a key factor in making this determination. A change that is relatively simple and uncontroversial will need a lower critical mass than one that is complex and far-reaching.

- The better one knows the people who will be affected, the easier it will be to determine the critical mass. Open discussion with staff that will be impacted will provide useful information about how receptive they are toward the change.
Five steps to building commitment to change - step four:

Step 4: Get the Commitment of the Critical Mass

- It's important to assess how to get the commitment of the critical mass and develop a plan accordingly.

- Ask key people what it would take to get them to a 75 percent level of commitment. Based on the answer, take the steps necessary to grow commitment in that person.

- For example, if one person says that if he or she had a better understanding of the reason for the change and how the change will affect him or her, then you need to provide more information to that person.

- For another it might be seeing the process at work elsewhere. If so, then you might want to arrange a visit to another agency. The key is to understand what it will take for staff to buy in to the change and take steps to meet those needs.
Five steps to building commitment to change - step five:

Step 5: Status Check to Monitor the Level of Commitment

Status checking refers to creating a monitoring system to identify progress in gaining commitment. One way to do this is ask for volunteers to sign up to participate on a trial basis. Who signs up and how many can be a good gauge to determine commitment.
Building commitment - developing an action plan

Commitment itself cannot be ‘increased’ - interventions can only be directed at areas that will encourage, support and reinforce commitment. It is important to develop an action plan to record planned interventions and monitor progress against these:

<table>
<thead>
<tr>
<th>Target Audience</th>
<th>Intervention</th>
<th>Planned Date</th>
<th>Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior stakeholders</td>
<td>Send to meet with other organisations who have run similar programmes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior stakeholders</td>
<td>Encourage other organisations to help stakeholders to develop a short paper on how the programme might work in their area</td>
<td></td>
<td></td>
</tr>
<tr>
<td>All employees</td>
<td>Announce the programme and provide a written overview of the programme so that there is transparency over vision and objectives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>All employees</td>
<td>Invite employees to attend briefings, share their experiences and have question and answer opportunity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>X department</td>
<td>Approach specific employees and ask what it would take to gain their commitment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Volunteers, (from employee base)</td>
<td>Create ownership by facilitating meetings with employees who volunteer to identify specific things that they could do to make the program work and identify what resources would be needed to support their efforts</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Guidelines to enhance organisational commitment

Five rules help to enhance organisational commitment:

- **Commit to people** - agree, publicise and live by values. Put commitments in writing, hire the right kind of managers, and walk the talk.

- **Clarify and communicate your mission** - clarify the mission and ideology; make it charismatic; use value-based hiring practices; stress values-based orientation and training; build tradition.

- ** Guarantee organisational justice** - have a comprehensive grievance procedure; provide for extensive two-way communications. Adopt practices that build fairness and equity.

- **Community of practice** - build value-based homogeneity; share and share alike; emphasize cross-utilisation, and teamwork; getting people to work together. Encourage sharing of knowledge and experience.

- **Support employee development** - commit to actualising; provide first-year job challenge; enrich and empower; promote from within; provide developmental activities; provide employee security without guarantees.
Build a commitment ladder

- Draw a ladder on a piece of paper.

- Each rung up the ladder represents a greater level of commitment, starting with resistance to the idea on the lowest rung and going up to strong make-it-happen type of commitment at the top.

- Distribute copies of the Commitment Ladder for a specific change to employees, and then ask them to put an X on the ladder in the field that represents their level of support.

- The ratings are anonymous and turned in prior to a break.

- While employees are on break, leaders can tally the ratings to see if people support the change.

- One benefit of this method is that after the break a leader can share the results. If the results are less than hoped, the leader can ask for feedback on how the idea can be improve to generate more commitment.
Change transition

“We need to successfully transition from the old world to the new”
Transitioning from the old world to the new - managing the cutover

**Purpose** - develop a cutover management plan with no surprises and a well-prepared team

**Approach** - using the implementation strategy as the starting point, follow these key steps in the approach to plan how to manage the cutover with the lowest possible risk:

- **Frame** - what sort of cutover do we want to have? What will it look like and what impact do we need to achieve? How can we ensure that we have got everyone engaged in the process, all understanding the impact on them and what they need to do to achieve a successful outcome

- **Illuminate** - what can we learn from previous cutovers? How can we use some form of pilot to help the team experience for themselves what will be the most challenging elements and what tactics they can use to tackle them

- **Create** - using insights to stretch thinking on how to be creative and high impact in managing the cutover

- **Stretch & build** - building a robust plan that will deliver the outcomes from Frame, builds on the knowledge gleaned in Illuminate, and responds to the creative thinking generated within Create

**Result** - a cutover achieved with minimal disruption to the organisation and its stakeholders
Managing the cutover - using insights to stretch thinking

Handing over a plane...

...or command of a warship

Changing currencies...

...or as a country shifting from driving on the left to driving on the right

Transitioning from one heart to another
Managing the cutover - what a plan might cover

Cutover by its very nature is a significant disruption to the business, so how can we minimise the level of risk that it poses?

- **Training** for all those whose work will change, including Day In the Life Of in the new world, so that everyone understands the new *relationships*, as well as the new *activities*

- **Communication** with internal and external stakeholders, about the cutover itself and what will be different ‘on the other side’

- Ensure clear **KPIs** to measure performance during and post cutover

- **Tactical communication** *during* the cutover

- **Slowdown/shutdown** - how can we manage down the level of activity before and during the cutover so that we can focus on the key things

- **Data** in old systems
  - What to transfer, what to archive
  - Running down the volume of open records/transactions

- **Physical changes** - equipment, work locations
Managing the cutover - what a plan might cover (cont.)

- **Rehearsals, dry runs and testing** to try out technical and physical transition activities (e.g. how long does it take to ... key in new records, set up a new equipment, run and check data conversion programmes

- Approval, control and **governance** processes

- ....and just in case anything still goes wrong - what’s our **contingency/recovery strategy**?
The ‘change curve’ as a transition journey

Shock & denial

Distrust

Anger & guilt

Depression, anxiety and stress

Regret

Acceptance
Shock and Denial - No matter how well impending decisions have been trailed – once they become known there is a period of shock. People refuse to believe them at first – all large organisations abound with rumours that never come to fruition.

The shock stage is usually short-lived. Actions to take include:

- Communicate the broad headline issues, the reasons for change and the actions that will happen.
- Don't expect people to make decisions or take actions people will not be interested about the future as much as the past.
- Be available and prepared to listen.
- Think about a strategy to help staff through the remaining stages of the process.
The transition journey - key stages (cont.)

- **Distrust** - After the shock employees may feel as though 'the rug has been pulled out from under them'. The trust level within the organisation drops, and people who feel betrayed develop a generally suspicious, 'save-your-own-skin' attitude. Some organisations have reported suspicion among peers and a withholding of information for fear of advancing somebody else's interests. Actions here include:
  - Communicate again the reasons and who is likely to be involved.
  - Clarify and make clear the timescales for the decision-making process – and ensure these are kept to.
  - Be honest about the future.
  - Don't develop a blame culture – deal with issues not people.
  - Be available – but don't expect a rush of people to talk to you.
The transition journey - key stages (cont.)

- **Anger and Guilt** - Change creates winners (those who benefit from the change) and losers (those who don't). The winners can often feel guilty and the messengers of the change may also feel guilty. Guilty people usually express their feelings indirectly and may feel uncomfortable around the losers. They may overcompensate ('don't blame me, I didn't plan this change') or they may even blame and/or patronise the losers for not being able to cope with the change well. This can also affect communication – those not involved don't know what to say to those that are, leading to an even greater sense of alienation by those most affected.

- Those who don't benefit from the change or those whose friends/colleagues don't benefit can feel resentment, especially towards the hierarchy. They can become angry, blame the organisation and can look for ways to payback (working slowly, leaving work undone, leaking documents, making mistakes or organising opposition).
The transition journey - key stages (cont.)

- **Anger and Guilt (cont.)**

- **At this stage:**
  - Provide opportunities to let off steam.
  - Expect open anger from some staff and acknowledge it as a natural reaction.
  - Respond with empathy to people's sense of loss.
  - Start to explain the need for change in more detail but don't expect to be listened to straightaway.
  - Be careful about the wording of even confidential documents – they may become public.
  - Don't expect engagement in new processes or decision-making at this stage.
The transition journey - key stages (cont.)

- **Depression, Anxiety and Stress** - Some people get anxious from the first rumour of change and when the changes are complete they then worry about the next set of changes. Nervousness, working extra time and taking on extra work to 'please the boss' can be examples of how some employees respond to change. 'If I get more paperwork out, start the day earlier and stay later, come in on weekends, maybe I'll get to stay or keep my staff or this office.' Anxiety can be a stimulus initially but can eventually lead to a decline in focus on tasks and reduce motivation, energy and adaptability. Stress and its negative effects usually accompany this behaviour. It is instructive to note that absenteeism, medical claims, stress related claims all increase at times of significant organisational change (although there may be a few months lag time).

- Living with the anxiety of the unknown associated with a change can create fears that taking risks and setting work goals too high or being too creative may result in displeasing the boss. Goals are set low, creative approaches to problem solving are scarce, and no one wants to take any chances of looking bad.
The transition journey - key stages (cont.)

- **Depression, Anxiety and Stress (cont.)** - Some people focus on 'How does this affect me? What will happen to me?' Transitions focus people back on themselves, which can undermine teamwork and increase competition for positions as well as undermine customer service. It is hard to take care of others when you are preoccupied with your own survival. Self-absorption can also undermine loyalty and commitment to the organisation. It’s important to try to move through this stage as quickly as possible:
  - Accept some temporary lack of motivation.
  - Talk to staff.
  - Reinforce the reasons for change and stress that the decision is not necessarily a reflection on the abilities of those involved. Rebuild confidence and self-esteem.
  - Recognise that this may not be the best time for creativity.
  - Provide counselling if necessary.

![Transition Journey Diagram]

- Shock & denial
- Distrust
- Anger & guilt
- Depression, anxiety & stress
- Regret
- Acceptance
The transition journey - key stages (cont.)

- **Regret** - This is a more positive stage. Staff have come to terms with the change and its personal affects. In the mind, the past always represents a better time and a regret for its passing is natural. The challenge is to ensure that staff don’t stay in the past and revert to old ways but engage actively in the new reality.
  - Start communicating the future and set out the decisions to be taken.
  - Discuss new roles.
  - Set short-term goals that are achievable.
  - Be positive but realistic.
  - At this stage it can be useful to have a wake for the old ways – celebrating what was achieved and drawing a line under the past.
The transition journey - key stages (cont.)

- **Acceptance** - This stage is assisted by moving from short-term to long-term vision and building and embedding the new reality. Don’t dwell on the past. This is the time to start enthusing about the future.
  - Celebrate new successes.
  - Make sure everyone is clear about new roles.
  - Don’t expect a radical change overnight – major wounds take a while to heal.
  - Convert complaints to action.
  - Promote personal responsibility and accountability.
  - Delegate as much as possible where appropriate.
  - Role model new behaviours.
  - Reduce the number of meetings relating specifically to change.
  - Document any new procedures.
  - Revise Job Descriptions and Performance Objectives.

![Diagram of the transition journey stages]

Shock & denial

Distrust

Anger & guilt

Depression, anxiety & stress

Regret

Acceptance
Principles of transition management

• **You have to end before you begin** - Frequently people talk about what's about to begin and there is no mention of what has to end. No one can develop a new identity or a new purpose until he or she has let go of the old one. It is best to deal with endings realistically and help people gain closure on the past. They will move on more readily and take advantage of what the future has to offer if you do.

• **Between the ending and the new beginning, there is a hiatus** - In between letting go of the old way and taking hold of the new, there is a difficult journey through the wilderness or 'a time in between the trapezes'. This is a dangerous time when systems don't work well and people lose heart easily. People need to know that it is usual to go through a chaotic interim between letting go and taking hold again and that it's normal to be discouraged and confused by the experience. Build in temporary sources of support and ways that people can feel in control by being involved in decisions that affect them.

• **The hiatus can be a creative time** - The same forces that make the in-between time difficult, mean that the normal resistances to new ideas and new behaviours don't work well either. For that reason, the interim is a potentially creative time, when new things can be introduced more quickly and easily than usual. This can be a time to step back and take stock, to try new things and a time to view every problem as an opportunity to abandon outmoded ways and create more adaptive and effective ones.
Principles of transition management (cont.)

- **Transition is developmental** - What ends is often not just a particular situation but a whole chapter and stage of development in the organisation's life cycle. Behind the scenes, a new organisation is taking shape. This is easier to see in retrospect, but it's worth remembering at the time that there is a purpose to all the distress and disturbance. Assist people to see that the old way was fine for its' time, but a new chapter is needed for a new day. It is also very important for managers to publicly identify, protect and carry forward the parts of the past that are valuable and still viable.

- **Transition is also the source of renewal** - The leap from one stage of development to another, like comparable leaps in nature, releases energy. That is why organisations so often come out of a painful crisis with new energy and a new focus. Renewal for individuals or groups comes from going through transition successfully, not in time away from the situation. Emphasise the need to re-prioritise as a way of unloading irrelevant policies and procedures. Discontinuing the old ways can be a release, especially if it is paired with an effort to clarify and celebrate the new mission, strategies and the new identity that the organisation is growing into.

- **People go through transition at different speeds and in different ways** - People get strung out along the path of transition like runners in a marathon. The leaders who designed the change are often far out ahead. They had a head start; they feel more in control of their fate and probably aren't as personally affected as many of the rank and file. Some people are more resilient during change. Leaders understand these things and communicate in terms that make sense from where people presently are, not just where the leaders are.
Most organisations are running a transition deficit - Many organisations don't give people a chance to complete the transition cycle. They think that they are saving time by hurrying people, but actually all they are doing is leaving people with still more unfinished business to carry along with them. Sooner or later the load will get too heavy, and some apparently small change will send the whole system into transition bankruptcy. To keep that from happening, slow down. Listen more and talk less. Investigate what old hurts and resentments may be getting in the way of people dealing directly with this transition. Do whatever you can to address them and lay them to rest. Build your case that this time will be different – and make sure it is!

The timings of new beginnings - Like any organic process, beginnings cannot be made to happen by a word or act. They happen when the timing of the transition process allows them to happen, just as flowers and fruit appear on a schedule that is natural and not subject to anyone's will. That is why it is so important to understand the transition process and where people are in it. Only when you get into people's shoes and feel what they are feeling can you help them to manage their transition. More beginnings abort because they were not preceded by well-managed endings and neutral zones than for any other reason. But if beginnings cannot be forced according to one's personal wishes, they can be encouraged, supported and reinforced.
Principles of transition management (cont.)

- **The timings of new beginnings (cont.)** - You cannot turn the key or flip the switch, but you can cultivate the ground and provide the nourishment. What you can do falls under four headings:
  - You can explain the basic purpose behind the outcome you seek. People have to understand the logic of it before they turn their minds to work on it.
  - You can put a picture of how the outcome will look and feel. People need to experience it imaginatively before they can give their hearts to it.
  - You can lay out a step-by-step plan for phasing in the outcome. People need a clear idea of how they can get where they need to go.
  - You can give each person a part to play in both the plan and the outcome itself. People need a tangible way to contribute and participate.
Sustainability of change

“We need to ensure the benefits are sustainable”
Achieving sustainability of the benefits - key principles

- When do we achieve sustainability?
  - When new ways of working and improved outcomes become the norm - not only have the process and outcome changed, but also the thinking and attitudes behind them are fundamentally altered and the systems surrounding them are transformed in support. As a result when the process or outcome is looked at again in say one year it has not reverted to the old way or old level of performance. Further, it has been able to withstand challenge and variation, it has co-evolved with any other changes in the context or environment. It has actually continued to improve over time, becomes ‘the way things are done around here,’ and certainly does not return to the ‘old’ processes that existed before the improvement project begins.

- What do we have to sustain, e.g.:
  - the specific change
  - the principles behind the change
  - the measured outcome of the change
  - the underlying culture
  - the set of relationships, the skills, the approach and the capability that enabled you to make the change
  - some combination of these
Achieving sustainability of the benefits - key principles

- **What will undermine sustainability?**
  - the change is seen as an isolated project with a start and end date, resources such as protected time, project managers and funding stops
  - sustainability is seen as something that one does after the project is completed - it is an afterthought - rather than something that must be taken into account from the very earliest stages of the improvement effort
  - not all of the key stakeholders understand and own the benefits of the change
  - change has been ‘done to’ a team or a service so resentment may be present
  - infrastructures for ongoing sustainability have not been put into place, for example continued measurement structures, inclusion in business planning process etc
  - the change has not been implemented with a whole system view of ‘knock-on’ effects to supporting areas
  - there has been insufficient training and development of new skills for staff
  - there has been insufficient alignment with the core values and objectives of the organisation
Achieving sustainability of the benefits - top tips

1. Be clear about the benefits to stakeholders
2. Pay attention to ongoing training and education needs
3. See how you can contribute to building the improvement into the structure of the organisation and make it the new standard
4. Build in on-going measurement
5. Work towards making sustainability mainstream
6. Celebrate, renew and set the bar higher
Achieving sustainability of the benefits - top tip one

• **Be clear about the benefit to stakeholders** - does the change produce clear, identifiable, proven and measurable benefits that meet needs for all relevant stakeholders including for example customers, leader and all involved staff? If yes, it is more likely to be sustained. When each stakeholder can answer the “what’s in it for me?” question for themselves, the change has won hearts and minds.

• **How to strengthen this factor** - identify key stakeholders early in the improvement effort and use observation, dialogue, focus groups or surveys to identify their needs and perceptions of the problem. Engage them in impact modelling so that they are clear about what benefits will be delivered and the potential initiatives to do this. Build something into the change that each stakeholder group can point to as the main reason why they like the change. Emphasise these unique characteristics in targeted communications to each stakeholder group. Be comfortable with the fact that there are multiple good points about the change; don’t insist that everyone see the benefit that you personally see. Winning hearts and minds needs to be part of the process of change rather than a separate element.

• **How to know this factor is present** - stakeholders can themselves describe why they like the change, with different stakeholders pointing to different factors. It’s got to be an advantage for everyone. So the advantages have got to be transparent and obvious and apply to staff as well as customers.
Achieving sustainability of the benefits - top tip two

- **Pay attention to ongoing training and education needs** - training and coaching are often available during the ‘live’ period of change programmes but often this is seen as a ‘once and done’ exercise rather than an ongoing iterative process. Continual effective support based on the needs of those working within the change process is needed to ensure skills and understanding are maintained. Many project teams have said that they underestimated the amount of training required and if they were to advise others would say, “Take whatever you estimate in training requirements throughout the project and then double it!”

- **How to strengthen this factor** - let the team involved help to identify future skills and training needs. Identify a small number of staff who can be trained as ‘trainers’ for ongoing skills development. The training needs to be evaluated regularly to make sure that it is useful and relevant. Training in the improvement, tools and techniques is great but not the whole picture. Any training programme associated with change needs to include behavioural and cultural changes as well. This will help with any resistance or fear of change.

- **How to know this factor is present** - staff will be confident working with the new processes, they will be able to assist in the training and explanation to others. They will be able to evolve, maintain or re-establish the changed process even if there are factors or crises that threaten to disrupt it. New staff will experience an appropriate and supportive induction training that includes the new ways of working.
Achieving sustainability of the benefits - top tip three

• See how you can contribute to building the improvement into the structure of the organisation and make it the new standard - ask yourself has the improvement really been incorporated into the basic fabric of daily work and systems and can it be seen reflected within the policies and procedures of a department or an organisation?

• How to strengthen this factor - when planning the change, think of how the new improved processes impact upon the existing roles, standards, policies and procedures. It is important to modify these where necessary as the change moves out of the testing phase and into full implementation. You should ensure that they reflect a new way of working, but be careful that the policies and procedures should not be so rigid that they stifle the ongoing opportunity for improvement. It also helps to completely remove the old way of doing things if you can; for example by destroying old forms or erasing old software.

• How to know this factor is present - teams are able to describe the new process when asked ‘how do you do things around here?’ Individual’s job descriptions accurately reflect their roles within the process.
Achieving sustainability of the benefits - top tip four

- **Build in on-going measurement** - establishment of a baseline position for measuring and communicating the improvements can be an exciting and motivating factor for teams. Measurement communicates that something is a priority and the phrase ‘we manage what we measure’ often rings true. If teams do not have a mechanism to identify ongoing improvement or slippage they will be unable to celebrate or take action to resolve the slippage. On-going measurement of important improvement or performance outcomes will maintain a focus and provide teams with not only information about their progress but the impetus to maintain or extend the improvement.

- **How to strengthen this factor** - work across the business to develop an impact model asap and further define this on an ongoing basis. Ensure that the impact measures include those which will constitute, for all key stakeholders, a really persuasive case for investment. Build these measures into an existing system within the organisation to ensure regular and automatic reporting. Make sure that the measurements are something the staff want and need so they aren’t seen as something that they have to do ‘for the management’. Some teams continue to display their ‘improvement graph’ in the office or coffee room as a means of communication. Slippage should be uncomfortable and should trigger an escalation process to bring things back in to line. Further improvement is to be encouraged and celebrated. The impact of being able to see how well the teams are doing with the improved process often provides incentive for further improvement.

- **How to know this factor is present** - there is a recognised measurement system and the team know how they continue to progress. Any reduction in performance is quickly recognised and actions are taken to address this. The measurements are part of the organisation’s monitoring system and not just for the team alone.
Achieving sustainability of the benefits - top tip five

- **Work towards making sustainability mainstream** - ask the questions: Is the new process aligned with the values, vision and goals of the organisation? Is it someone’s responsibility to ensure that the improvement maintains or even progresses? Has resource been allocated to support the continuation of the new way of working? Is the new way now the usual way of doing things? Are things ‘set up’ to support the change?

- **How to strengthen this factor** - make sure the changed system is built into the mainstream processes of the organisation. It should feature within the regular reporting mechanisms of the organisation, the business planning cycle and it should be celebrated within the annual report. On an individual basis the new ways of working and levels of performance should be reflected within the appraisal system and be built into job roles and job descriptions. An influential individual might be given specific responsibility to ensure that the new process or outcome is sustained and this should be reflected within their job description and objectives. The team, which created the change, could come together from time to time to review whether it had been sustained. Make sure that support processes are in place to support the new process.

- **How to know this factor is present** - teams and individuals cease to refer to the changed system or process as ‘new.’ Instead, it has become ‘the way we do things around here.’ There are even suggestions for further improvements, which are encouraged and supported. As individuals and teams change new staff are inducted and trained in the system. It seems impossible and undesirable to go back to the old way, the only way to move is forward.
Achieving sustainability of the benefits - top tip six

- **Celebrate, renew and set the bar higher** - we celebrate improvement efforts, but maintaining and sustaining high performance is less glamorous. Celebrate periodically the fact that the indicator has stayed at the improved level over time; for example, proudly post a sign reading ‘celebrating six months of lower infection rates’.

- **How to strengthen this factor** - make definite plans in advance to celebrate continued success and to reflect on progress. Use the impact model to set a new aim or goal and try to improve even more. Use the excitement of improvement to keep the attention up. Make it a continuous improvement effort; never really let it settle into simple maintenance mode. Watch out for weakening targets and satisfaction with progress so far. Find ways to renew the creativity and passion for improvement that was part of the early days of the project.

- **How to know this factor is present** - celebration of success is the norm and team’s focus on positive reinforcement of their efforts. There is an impetus to continually improve and mechanisms in place to continually monitor the improvements made.
Achieving sustainability of the benefits - insights

Sustainability of crops...

Sustainability of loyalty...

Sustainability of energy...

Sustainability of stickability...

Sustainability of popularity...
Allocate resources for sustainable continuous improvement...

Continuous improvement through:
- Mini-projects - part-time
- SWAT team (full-time, short term)
- Business as usual (performance expectation)